

Notice of Allowability

Application No.

09/678,902

Applicant(s)

MODEST, DAVID M.

Examiner

Art Unit

Naresh Vig

3629

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 08 September 2006.
2. ☒ The allowed claim(s) is/are 1-4, 8-11, 14-21, 25-28 and 31-34, 46
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date _____
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____



Naresh Vig
Examiner
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DETAILED ACTION

This is in reference to communication received 08 September 2006. Pending Claims 1-4, 8-11, 14-21, 25-28, 31-34 and newly added claim 46 are being responded to in this office action

Drawings

The drawings have been approved by the examiner.

Allowable Subject Matter

The following is an examiner's statement of reasons for allowance:

In claim 1 (method claim) and claim 18 (system claim to perform method of claim 1), applicant claims system and method for displaying plurality of markets which are represented by financial indicators for the market using geographic orientation, each of said financial indicator representing financial activity of a market in a particular geographic region, each said financial indicator including a plurality of sectors and each of said sectors including a plurality of financial instruments. Applicant's invention not only shows financial activity of financial instruments within a sector, plurality of sectors within a financial indicator in proportion to their respective weighting within a financial indicator representing a market, but also, demonstrates plurality of markets with their respective sectors and financial instruments within said respective sectors, wherein,

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size of each market is also in proportion to plurality of markets being displayed on the geographic map. Applicant displays plurality of markets which are represented by financial indicators by:

means and method for displaying a map, said map including plurality of geographic regions, wherein each of the market in the geographic region is represented by a financial indicator which includes plurality of sectors and financial instruments within the financial indicator.;

means and method for simultaneously displaying on said plurality of geographic region of said map a visual indicator that represents the status of said respective financial indicator(s) along with their plurality of sectors and financial instruments with said sector(s), wherein said size of each of said financial indicator(s), their sector and financial instruments with the sectors are in proportion to weightings of said respective financial instrument(s);

wherein each of said plurality of financial indicators in the geographic region of the map have a size in proportion to their market activity in comparison to other financial indicators on the geographic map.

Claims 2-4, 8-11, 14-17 claim dependency on claim 1 and claims 19-21, 25-28, 31-34 and 46 claim 18.

Prior art Secrets of Using the Map of the Market teaches:

means and method for displaying a map which includes plurality of sectors and financial instruments within respective sector wherein said size of each of financial

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instruments within the sectors, and, plurality of sectors in the market are in proportion to weightings of their financial activity within said market;

Prior art Secrets of Using the Map of the Market does not teach:

means and method for displaying plurality of markets on a geographic map, wherein each of the market represented by financial indicator displays each market in proportion to weighting of their financial activities, and also, within each of the market, displaying plurality of sectors and financial instruments within respective sector wherein said size of each of financial instruments within the sectors, and, plurality of sectors in said plurality market are in proportion to weightings of their financial activity within said plurality of market;

Prior art Wattenberg US Patent 5,774,878 teaches:

means and method for displaying plurality of markets on a geographic map in a Grid Format with each of the market having plurality of financial instruments or sectors. All grids in Wattenberg invention are of same size. Wattenberg teaches to show financial activity of financial instruments and sectors on the same map.

Prior art Wattenberg US Patent 5,774,878 does not teach:

means and method for displaying plurality of markets on a geographic map in proportion to weightings of their financial activity on the geographic map, and, displaying plurality of sectors and financial instruments within respective sector wherein said size

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of each of financial instruments within the sectors, and, plurality of sectors in said plurality market are in proportion to weightings of their financial activity within said plurality of market.

Prior art Belzberg European Publication WO 9526005 A1 teaches:

The computerized stock exchange trading system and method which includes a programmed interface by which data on a group of shares may be read from a spreadsheet formulated into an order and launched automatically or in response to a signal from an operator so as to trade an index or basket of shares instantaneously.

Prior art Belzberg European Publication WO 9526005 A1 does not teach:

means and method for displaying plurality of markets on a geographic map in proportion to weightings of their financial activity on the geographic map, and, displaying plurality of sectors and financial instruments within respective sector wherein said size of each of financial instruments within the sectors, and, plurality of sectors in said plurality market are in proportion to weightings of their financial activity within said plurality of market.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Naresh Vig whose telephone number is (571) 272-6810. The examiner can normally be reached on M-F 7:30 - 6:00 (Wednesday off).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (571) 272-6812. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



Naresh Vig
Examiner
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September 17, 2006